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28747-16-2

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**TRANSMITTAL  
FORM**

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<p><b>TRANSMITTAL FORM</b></p> <p><i>(to be used for all correspondence after initial filing)</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">Application Number</td> <td style="width: 60%;">10/063,571</td> </tr> <tr> <td>Filing Date</td> <td>5/2/2002</td> </tr> <tr> <td>First Named Inventor</td> <td>Hemonth Rao</td> </tr> <tr> <td>Group Art Unit</td> <td>2874</td> </tr> <tr> <td>Examiner Name</td> <td>Unassigned</td> </tr> <tr> <td>Total Number of Pages in This Submission</td> <td>8</td> </tr> <tr> <td>Attorney Docket Number</td> <td>PTX-033</td> </tr> </table>	Application Number	10/063,571	Filing Date	5/2/2002	First Named Inventor	Hemonth Rao	Group Art Unit	2874	Examiner Name	Unassigned	Total Number of Pages in This Submission	8	Attorney Docket Number	PTX-033
Application Number	10/063,571														
Filing Date	5/2/2002														
First Named Inventor	Hemonth Rao														
Group Art Unit	2874														
Examiner Name	Unassigned														
Total Number of Pages in This Submission	8														
Attorney Docket Number	PTX-033														

**ENCLOSURES (check all that apply)**

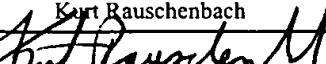
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">Form 1449 (1 pg.), copy of reference C1, return receipt postcard</div>
Remarks		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Kurt Rauschenbach		
Signature	 JUL 17 2002		
Date	June 20, 2002		

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: **June 20, 2002**

Typed or printed name	Kurt Rauschenbach		
Signature			
Date	June 20, 2002		

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PATENT  
Attorney Docket No. PTX-033

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THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): RAO, ET AL  
SERIAL NO.: 10/063,571 GROUP NO.: 2874  
FILING DATE: May 2, 2002 EXAMINER: Unassigned  
TITLE: POLARIZATION MULTIPLEXED OPTICAL CLOCK

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the provisions of 37 C.F.R. §1.97, Applicants hereby make of record the references listed on the accompanying Form PTO-1449 for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the references are enclosed.

**REMARKS**

In accordance with the provisions of 37 C.F.R. §1.97, this statement is being filed (CHECK ONE):

- (1) within three (3) months of the **Filing Date** or before the mailing date of the **First Office Action** on the merits; or
- (2) after the period defined in (1) but before the mailing date of a **Final Rejection** or **Notice of Allowance**, and
  - the requisite Statement is below, **OR**
  - the requisite fee under Rule 1.17(p), namely **\$180.00**, is included herein, or
- (3) after the mailing date of a **Final Rejection** or **Notice of Allowance** but before the payment of the **Issue Fee**, **AND**
  - Applicant hereby Petitions the Commissioner to accept and consider the attached Information Disclosure Statement, **AND**
  - the requisite Statement is below, **AND**
  - the requisite petition fee due under Rule 1.17(i)(I), namely **\$130.00** is included herein.

It is respectfully requested that each of the references shown on the attached Form PTO-1449 be made of record in this application.

**STATEMENT**

As required under §1.97(e), Applicants, through the undersigned, hereby state either that [check the appropriate space]:

1. [E]ach item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application **not more than** three months prior to the filing date of the Information Disclosure Statement; or

2. [N]o item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any** individual designated in §1.56(c) **more than** three months prior to the filing of the Information Disclosure Statement.

**FEES AUTHORIZATION**

Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account, No. 501211. Any overpayments should be credited to said Deposit Account.

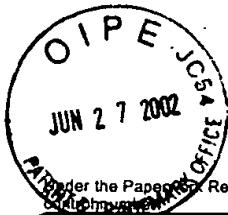
Respectfully submitted,

  
\_\_\_\_\_  
Kurt Rauschenbach  
Atty/Agent for Applicant(s)  
Law Office of Kurt Rauschenbach  
Post Office Box 387  
Bedford, MA 01730

Date: June 20, 2002  
Reg. No. 40,137

Tel. No.: (781) 271-1503  
Fax No.: (781) 271-1527

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Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

*(use as many sheets as necessary)*

Sheet	1	of	1	Attorney Docket Number	PTX-033
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**Complete if Known**

Application Number	10/063,571
Filing Date	5/2/2002
First Named Inventor	Hemonth Rao
Group Art Unit	2874
Examiner Name	Unassigned

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**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	C1	GENEREUX, F., et al., "Large Birefringence In Two-Dimensional Silicon Photonic Crystals", PHYSICAL REVIEW B, VOLUME 63 161101(R).	

Examiner Signature	Date Considered
-----------------------	--------------------

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**<sup>1</sup>** Applicant's unique citation designation number (optional). **<sup>2</sup>** Applicant is to place a check mark here if English language Translation is attached.

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